The Solution Life Cycle

Solution Life Cycle (SLC)

SLC Phase End Compliance Review Process Guide

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1.0 Introduction

The Solution Life Cycle (SLC) Phase End Compliance Review Process Guide is intended for SLC Coaches (or their Designees) who are responsible for carrying out a series of Compliance Checks with Projects with which they work. The Compliance Checks are one component of the General SLC Process Measurement Activities defined in the SLC Process Measurement Compliance Process Guide.

At the end of each phase of the SLC, SLC Coaches (or their designees) will conduct and SLC Phase End Review with the Project. These reviews allow FSA to validate the compliance of Projects with the SLC.

2.0 SLC Phase End Compliance Review for Projects

2.1 Purpose

The Purpose of this Project-based SLC Phase End Review Process Guide is to describe the steps, responsibilities, tools and outcomes involved in the actual holding of the Compliance Reviews of SLC activities.

2.2 Process Definition

This process defines the sequence of actions to be taken in order to facilitate the SLC Phase End Review Session. It begins with the establishment of the project's understanding of the need to hold SLC Phase End Review Sessions at the conclusion of each SLC phase through which they progress.

It is expected that the SLC Coach or their designee will use resources at their disposal (the SLC Coach's Toolkit etc.) to provide assistance (including available templates and guidance) to projects so that they may strive for compliance with SLC standards.

Upon determination of Project's level of compliance, SLC coaches issue ratings of the projects so that corrective actions can be taken if necessary.

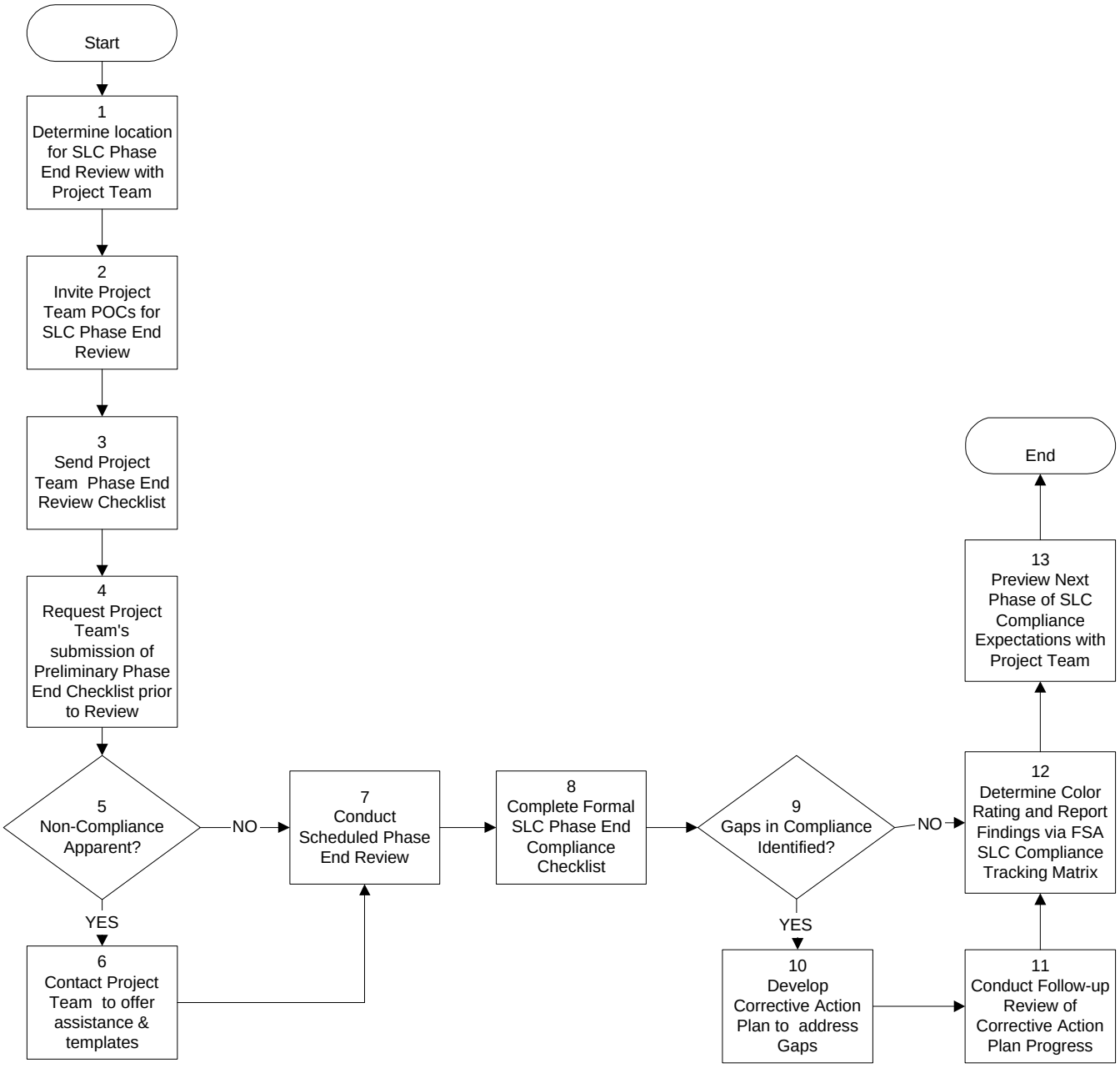
2.3 Benefits

Benefits of following this process include:

- Obtaining project buy-in for the on-going SLC coaching activities
- Standardizing the procedures for planning, conducting and following-up on an SLC Phase End Review
- Minimizing the amount of time necessary to conduct an efficient Phase End Review
- Using a standard format for the evaluation of project compliance to the SLC

2.4 Phase End Compliance Review Process

Reviews takes place at the end of each SLC Phase. The Phase End Compliance Review is facilitated by the SLC Coach (or their designee).



2.5 Process Steps

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
Start				
1.	*Determine Location for SLC Phase End Review with Project Team* The SLC Coach (or designee) determines and secures the location for the Review Session.	SLC Coach	N/A	Location determined
2.	*Invite Project Team POCs for SLC Phase End Review* The Coach works with the Project Manager to determine which project team Members should attend the Review Session and then invites those individuals.	SLC Coach, Project Manager	SLC Standard Phase End Review Invitation Email	Invitations sent
3.	*Send Project Team Phase End Review Checklist* The SLC Coach Provides the project team the SLC Coach's Phase End Compliance Review Checklist and reminds the team about the items for which they are responsible.	SLC Coach	SLC Coach's Phase End Compliance Checklist	Project receives and reviews Phase End Review Compliance Checklist
4.	*Request Project Team's submission of Preliminary Phase End Checklist prior to Review* Project teams should provide the SLC Coach the Status of their compliance to date via an updated SLC Coach's Checklist indicating which work products are compliant. This updated checklist should be provided to the SLC Coach 2 days prior to the Review Session. Project teams should also indicate any work products for which they feel a waiver may be needed.	SLC Coach	SLC Coach's Phase End Compliance Checklist	Preliminary Phase End Review Compliance Checklist reviewed and reviewed by SLC Coach

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
5.	*Non-Compliance Apparent?* Non-Compliance is apparent when projects return their preliminary SLC Coach's Phase End Compliance Checklists with less that 100% of required documents listed as being compliant.	SLC Coach	SLC Coach's Phase End Compliance Checklist	SLC Coach makes determination about whether non-compliance is apparent.
6.	*Contact Project Team to Offer Assistance & Templates* Projects may need templates and other guidance. SLC Coaches should help teams to locate any additional templates or "sample" documents needed.	SLC Coach	SLC Templates and other "sample" documents	Project team understands that Coach is available to help them meet requirements
7.	*Conduct Scheduled Phase End Review* SLC Coaches may want to begin the Phase End Review Session with a brief review of the overall SLC Measurement Program (if deemed helpful). SLC Coach would then step through the SLC Coach's Phase End Compliance Checklist to facilitate the review session. As coaches step through each of the required work products for the phase being reviewed, they notate on the checklist whether the project has complied in creating each individual required work product. Coaches review corrective action plans from previous SLC Phases and report projects progress in addressing open items (as needed).	SLC Coach, Project Manager, Project Team	SLC Process Measurement Program Overview Presentation, SLC Coach's Phase End Compliance Checklist	Phase End Review Conducted and Checklist Completed

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
8.	*Complete Formal SLC Phase End Compliance Checklist* Once the meeting has concluded, the SLC Coach should review the notes taken during the session and, based on the information, complete (electronically) a final DRAFT version of the checklist for the Phase End Review. The Electronic version of the checklist should be sent to the Project Manager and the FSA Project Lead for review. The Checklist would remain as a draft for 10 business days beyond the date that the SLC Coach provides it to the Project Manager and FSA Lead.	SLC Coach, Project Manager, Project Team	SLC Coach's Phase End Compliance Checklist	Project Team given opportunity to review and address SLC coach concerns or identification of Gaps
9.	*Gaps in Compliance Identified?* If YES: Proceed to step 10 If NO: Proceed to Step 12	SLC Coach	SLC Coach's Phase End Compliance Checklist	N/A
10.	*Develop Corrective Action Plan to address Gaps* The project would include any non-compliant items (gaps) in a corrective action plan. The corrective action plan should identify the non-compliant item, steps to take to achieve compliance, parties responsible for taking the needed action and target date by which compliance will be achieved for the given item. The project should submit the corrective action plan to the SLC Coach within five days of the Phase End Review Session.	Project Team	SLC Phase End Corrective Action Plan	Corrective Action Plan in place

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
11.	*Conduct Follow-up Review of Corrective Action Plan Progress* Upon receiving the Project's corrective action plan, the SLC Coach should review the plan and determine if it meets requirements (i.e. identifies the non-compliant item, steps to take to achieve compliance, parties responsible for taking the needed action and target date by which compliance will be achieved for the given item.)	SLC Coach	SLC Phase End Corrective Action Plan	SLC Coach determines whether Corrective Action plan proposed by project is sufficient
12.	*Determine Color Rating and Report Findings via FSA SLC Compliance Tracking Matrix* The SLC Coach must issue a final Phase End Compliance rating of Green, Yellow or Red for projects and report that rating using the Central SLC Coach's Compliance Checklist. The Checklist Phase End Rating for the Team is based on their level of compliance and is defined in the SLC Coach's Compliance Checklist. Coaches should also update the Teams Overall Rating and Measurement Level Status in the Central SLC Coach's Compliance Checklist.	SLC Coach	SLC Coach's Compliance Checklist (including update to "Central SLC Coach's Compliance Checklist" which is located on the FSA intranet)	Color Rating officially reported and captured
13.	*Preview Next Phase of SLC Compliance Expectations with Project Team* The SLC Coach discussed with the project team what is expected of them for the next Phase End Review Session (i.e. compliance with the work product requirements as listed in the SLC Coach's Compliance Checklist).	SLC Coach, Project Team	SLC Coach's Compliance Checklist	Project understands expectations and requirements for next Phase End Review